

JC682 U.S. PTO
11/08/01

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1d-10-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No	5457-010PA
First Inventor	Somnath MUKHERJEE
Title	LOSSY LINEARIZERS FOR ANALOG OPTICAL TRANSMITTERS
Express Mail Label No	EL860858084US

1497-0108-01
11/08/01**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning design patent application contents.

1. X Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. X Specification [Total Pages 27]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. X Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Pages 3]
 a. X Newly executed (original or copy)
 b. Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 i. **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. X Application Data Sheet. See 37 CFR 1.76

ADDRESS TOAssistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (*Appendix*)
 8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 a. Computer Readable Form (CRF)
 b. Specification Sequence Listing on:
 i. CD-ROM or CD-R (2 copies); or
 ii. paper (number of pages _____)
 c. Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. X Assignment Papers (cover sheet & document(s))
 10. 37 C.F.R. § 3.73(b) Statement X Power of
(when there is an assignee) Attorney
 11. English Translation Document (*if applicable*)
 12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
 13. Preliminary Amendment
 14. X Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
 15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
 16. X Nonpublication Request under 35 U.S.C. 122
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
 17. Other.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No: _____ /
 Prior application information: Examiner _____ Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label or Correspondence address below
 (Insert Customer No. or Attach bar code label here)

Name	Law Office of John Schipper				
	John F. Schipper				
Address	111 N. Market Street				
	Suite 808				
City	San Jose	State	California	Zip Code	95113
Country	USA	Telephone	(408) 293-9934	Fax	(408) 293-2183

Name (Print/Type)	John F. Schipper	Registration No. (Attorney/Agent)	26,994
Signature	<i>John F. Schipper</i>		Date November 8, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231 DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 864.00)

Complete if Known	
Application Number	
Filing Date	
First Named Inventor	Somnath MUKHERJEE
Examiner Name	
Group Art Unit	
Attorney Docket No	5457-010PA

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
 Deposit Account Number **50-1467**
 Deposit Account Name Law Office of John F. Schipper
 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed.

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$ 740.00)

2. EXTRA CLAIM FEES

Total Claims	19	-	20	=	00	X	9	=	00.	Extra Claims	Fee from below	Fee Paid
Independent Claims	5	-	3	=	02	X	42.	=	84.			
Multiple Dependent	0	-				X	140	=	0.			

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 824.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205	Surcharge - late filing fee or oath	
127	50	227	Surcharge - late provisional filing fee or cover sheet	
139	130	139	Non-English specification	
147	2,520	147	For filing a request for reexamination	
112	920*	112	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	Requesting publication of SIR after Examiner action	
115	110	215	Extension for reply within first month	
116	400	216	Extension for reply within second month	
117	920	217	Extension for reply within third month	
118	1,440	218	Extension for reply within fourth month	
128	1,960	228	Extension for reply within fifth month	
119	320	219	Notice of Appeal	
120	320	220	Filing a brief in support of an appeal	
121	280	221	Request for oral hearing	
138	1,510	138	Petition to institute a public use proceeding	
140	110	240	Petition to revive – unavoidable	
141	1,280	241	Petition to revive – unintentional	
142	1,280	242	Utility issue fee (or reissue)	
143	460	243	Design issue fee	
144	620	244	Plant issue fee	
122	130	122	Petitions to the Commissioner	
123	50	123	Petitions related to provisional applications	
126	180	126	Submission of Information Disclosure Stmt	
581	40	581	Recording each patent assignment per property (times number of properties)	40.
146	740	246	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	Request for Continued Examination (RCE)	
169	900	169	Request for expedited examination of a design application	
Other fee (specify)				
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$ 40.00)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	John F. Schipper	Registration No	Attorney/Agent	26,994	Telephone	(408) 293-9934
Signature	<i>John F. Schipper</i>					
WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.						

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231 DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. (SF 1156686 v1)

**NONPUBLICATION REQUEST
UNDER
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	Somnath MUKHERJEE
Title	LOSSY LINEARIZERS FOR ANALOG OPTICAL TRANSMITTERS
Atty Docket Number	5457-010PA

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

November 8, 2001

Date

Signature

John F. Schipper

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement. This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

EXPRESS MAIL CERTIFICATE

"Express Mail" mailing number: EL860858084US

Date of Deposit: November 8, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.

Anna Kumar



Name

Signature

November 8, 2001

Date

- | | |
|-----|--|
| 1. | Check in the amount of \$864.00 |
| 2. | Postcard for Return Receipt |
| 3. | Express Mail Certificate (1 p) |
| 4. | Patent Application Transmittal (1 p) |
| 5. | Fee Transmittal (1 p) |
| 6. | Notice of Provisional Application Filing (1 p) |
| 7. | Recordation Cover Sheet (1 p) |
| 8. | Assignment (3 pp) |
| 9. | Declaration with Additional Inventors sheet (3 pp) |
| 10. | Power of Attorney (3 pp) |
| 11. | Nonpublication Request (1 p) |
| 12. | Application Data Sheet (2 pp) |
| 13. | Specification (20 pp) |
| 14. | 19 claims (6 pp) |
| 15. | Abstract (1 p) |
| 16. | Drawings (13 sheets) |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Somnath Mukherjee, Yahsing Yuan, Mridal K. Pal

U.S. Serial No:

Group Art Unit:

Filed:

Examiner:

Title: "LOSSY LINEARIZERS FOR ANALOG OPTICAL TRANSMITTERS"

Assistant Commissioner for Patents
Washington, D.C. 20231

NOTICE OF PROVISIONAL APPLICATION FILING

Dear Sir:

The U.S. patent application submitted herewith includes and relies upon information contained in U.S. Provisional Application No. 60/252,810, filed 22 November 2000, entitled "LOSSY LINEARIZERS FOR ANALOG OPTICAL TRANSMITTERS" and having the same group of inventors as set forth above.

Respectfully Submitted,

John Schipper

John Schipper

Date: 08 November 2001

Patent Attorney for Applicants